

CHAPTER VI

FORMS AND PROCEDURE OF COMMUNICATION

28. Forms of communication -

The different forms of communication, its content and format generally used by a Department are reproduced below:-

(i) Letter -

Content	Format
<p>Used for corresponding with State Governments, various constitutional bodies, heads of attached and subordinate offices, public enterprises, statutory authorities, public bodies and members of the public generally. A letter begins with the salutation "Sir/Madam" as may be appropriate.</p> <p>Note: In case of correspondence with Foreign Government, instructions issued by the Ministry of External Affairs from time to time are to be followed.</p>	<p style="text-align: center;">No.... Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p style="text-align: right;">New Delhi, the.....(Date)</p> <p>To Subject: Sir/Madam, With reference to your letter No.....dated..... on the subject cited above, I am directed..... Yours faithfully,</p> <p style="text-align: right;">@Sd/ (A.B.C.) Under Secretary to the Govt. of India Tele.No..... Telefax.No/e-mail</p> <p>(Endorsement) No..... Copy forwarded for information/necessary action to: (1) (2)</p> <p style="text-align: right;">(A.B.C.) Under Secretary to the Govt. of India</p>

(ii) **Demi-official letter -**

Content	Format
<p>Generally used in correspondence between Government officers for inviting their personal attention on the issue. Since demi-official letter is written in the first person in a personal and friendly tone, it should be addressed by an officer in a Ministry/ Department who is ordinarily not more than one or two levels below the officer to whom such communication is addressed. Communications to non-officials can also take the form of a demi-official letter.</p> <p>The colour code and use of National Emblem on D.O. letter will be as per the instructions issued by the Ministry of Home Affairs from time to time</p>	<p>XYZ Deputy Secretary Tele.No.</p> <p style="text-align: right;">D.O.No..... GOVERNMENT OF INDIA (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p style="text-align: right;">New Delhi, the20..</p> <p>My dear/Dear Shri.....</p> <p>We propose to draw up a model scheme for..... A copy of the outline prepared in this connection is enclosed.</p> <p>I shall be grateful if you would let me have your comments as soon as possible. I may add that we intend circulating the draft scheme formally to all departments in the due course for their comments.</p> <p style="text-align: center;">With regards</p> <p style="text-align: right;">Yours sincerely, (XYZ)</p> <p>A.B.C. Deputy Secretary Ministry of Department of New Delhi.....</p>

(iii) **Office Memorandum -**

Content	Format
Generally used for corresponding with other Departments or in calling for information from or conveying information to its employees. It may also be used in corresponding with attached and subordinate offices. It is written in the third person and bears no salutation or supersession except the name and designation of the officer signing it	<p>No....</p> <p>Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p>New Delhi, the.....(Date)</p> <p>OFFICE MEMORANDUM</p> <p>Subject:</p> <p>The undersigned is directed to refer to this/their Department O.M. No.....dated.....</p> <p>2. Doubts have been expressed whether the provisions ofalso apply to..... It is hereby clarified that</p> <p>(A.B.C.) Under Secretary to the Govt. of India Tele.No/e-mail</p> <p>To The Department of (.....Vibhag) (Shri/Smt.....) Sardar Patel Bhavan Parliament Street New Delhi-110001.</p>

(iv) **Inter-departmental note (earlier referred to as U.O. Note i.e. before 7th edition of CSMOP) -**

Content	Format
<p>(a) Generally employed for obtaining the advice, views, concurrence or comments of other Departments on a proposal or in seeking clarification of the existing rules, instructions etc. It may also be used by a Department when consulting it's attached and subordinate offices and vice versa.</p> <p>(b) The inter-Departmental note may either be recorded on a file or e-file (where two departments have connectivity) referred to another Department or may take the form of an independent self-contained note.</p>	<p>Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p>Subject:</p> <p>1. The present rules regulating the issue of identity cards provide inter alia that.....</p> <p>2. A question has now arisen whether.....</p> <p>3.</p> <p>4.</p> <p>5. This department will be grateful for the advice of the Department of Legal affairs on the issue raised in para 4 above.</p> <p>(X.Y.Z.) Deputy Secretary Tele.No/e-mail</p> <p>Department of Legal Affairs (Vidhi Karya ibhag), Shri.....) Shastri Bhavan, New Delhi</p> <hr/> <p>Department ofI-D No.....Dated.....</p>

(v) **Office Order –**

Content	Format
Normally used for issuing instructions meant for internal administration, e.g., grant of regular leave, distribution of work among officers and sections, appointments and transfers etc.	<p>No....</p> <p>Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p>New Delhi, the.....20..</p> <p>OFFICE ORDER(No. /2014) Shri X.Y.Z., a permanent Section officer in this department, is granted earned leave fordays from.....towith permission to prefix..... and suffix..... both public holidays, to the leave.</p> <p>2. It is certified that Shri XYZ is likely, on the expiry of this leave, to return to duty at the station from which proceeded on leave.</p> <p>(A.B.C.) Under Secretary to the Govt. of India Tele.No/e-mail</p> <p>Copy to: 1. Office order file 2. Cashier 3. Section concerned 4. Shri XYZ Section Officer.</p>

(vi) **Order -**

Content	Format
Generally used for issuing certain types of financial sanctions and for communicating government orders in disciplinary cases, etc., to the officials concerned	<p>No.... Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p>New Delhi, the.....20..</p> <p>ORDER</p> <p>Sanction of the President is accorded under rule 10 of the Delegation of Financial Powers Rules, to write off irrecoverable loss of Rs.5000 (Rupees Five Thousand only) being the value of the following articles belonging to this department.</p> <p>(1) X X X X X (2) X X X X X</p> <p>(A.B.C.) Under Secretary to the Govt. of India Tele.No/e-mail</p> <p>Copy forwarded to: 1. The A.G.C.R., New Delhi. 2. Internal Finance Section 3. Cash Section</p>

(vii) **Notification -**

Content	Format
<p>Mostly used in notifying promulgation of statutory rules and orders, appointments and promotions of gazetted officers etc. through publications in the Gazette of India.</p> <p>Note: The classification of categories of notification/extra-ordinary notification shall be as per the instructions issued by the Ministry of Home Affairs' from time to time.</p>	<p>[To be published in the Gazette of India, Part I, Section 2) Government of India (Bharat Sarkar) Department of..... (.....Vibhag)</p> <p>New Delhi, the.....20..</p> <p>NOTIFICATION</p> <p>No..... Shri XYZ., Under Secretary in the Department ofis appointed to officiate as Deputy Secretary in that Department vice Shri transferred to the Department of</p> <p>(A.B.C.) Joint Secretary Tele.No/e-mail</p> <p>The Manager, Government of India Press, (Bharat Sarkar Press) FARIDABAD</p> <p>Copy forwarded for information to: (1) (2) (3)</p>

(viii) **Resolution –**

Content	Format
<p>This form of communication is used for making public announcement of decisions of government in important matters of policy in e.g. the policy of industrial licensing, appointment of committees or commissions of enquiry. Resolutions are also published in the Gazette of India.</p>	<p><i>[To be published in the Gazette of India, Part I, Section 1)</i></p> <p>Government of India <i>(Bharat Sarkar)</i> Department of..... (.....Vibhag)</p> <p><i>New Delhi, the.....20..</i></p> <p>RESOLUTION</p> <p><i>The Government of India have had under consideration the question of further improving the efficiency of the departments and services concerned with the collection of revenue. As a first step in that direction the President has been pleased, under the powers vested in him under Article of the Constitution of India, to decide that a Class Central Service to be known as 'India Revenue Service' should be constituted with effect from</i></p> <p><i>(A.B.C.)</i> Secretary to the Government of India Tele.No/e-mail</p> <p>ORDER</p> <p><i>ORDERED that a copy of the resolution be communicated to.....</i> <i>ORDERED that a the resolution be published in the Gazette of India for general information</i></p> <p><i>(A.B.C.)</i> Secretary to the Government of India Tele.No/e-mail</p> <p><i>The Manager, Government of India Press, (Bharat Sarkar Press) FARIDABAD.</i></p>

(ix) **Press communiqué/note -**

Content	Format
<p>This form is used when it is proposed to give wide publicity to a decision of government. A press communiqué is more formal in character than a press note and is expected to be reproduced intact by the press. A press note, on the other hand, is intended to serve as a hand-out to the press which may edit, compress or enlarge it, as deemed fit.</p>	<p>Not to be published or broadcast before a.m./p.m on.....day, the 20..</p> <p style="text-align: center;">PRESS COMMUNIQUE/NOTE</p> <p>In response to public demand, the Government of India have appointed a Commission to go into the problem of and make suitable recommendations to the Government.</p> <p>2. The Commission will consist of Shrias Chairperson and the following as members;</p> <p>(i) (ii) (iii)</p> <p>3. In making its recommendations, the Commission is expected to give consideration to the following matters:</p> <p>(a) (b) (c)</p> <p>4. The Commission is expected to submit its report to the Government by</p> <p style="text-align: center;">Department of (.....Vibhag)</p> <p style="text-align: right;">New Delhi, the.....20... No.....</p> <p>Forwarded to the Principal Information Officer, Press Information Bureau, Government of India, new Delhi, for issuing the communiqué and giving it wide publicity.</p> <p style="text-align: right;">(A.B.C.) Joint Secretary Tele.No/e-mail</p>

(x) **Endorsement -**

Content	Format
This form is used when a receipt has to be returned in original to the sender, or the receipt in original or its copy is sent to another Department or office, for information or action. It is also used when a copy of a communication is proposed to be forwarded to parties other than the one to which it is addressed. Normally this form will not be used in communicating copies to state governments. The appropriate form for such communication should be a letter.	No.... Government of India (Bharat Sarkar) Department of..... (.....Vibhag) New Delhi, the.....2014 A copy each of the papers mentioned below is forwarded for information and necessary action. (A.B.C.) Under Secretary to the Govt. of India Tele.No/e-mail List of papers forwarded. 1. 2. To

(xi) **Minutes** - A record of discussions is prepared immediately after the meeting and circulated to the other Ministries/Departments concerned, giving date/time/venue of the meeting held, who chaired the meeting and list of participants, setting out the conclusions reached and indicating the Ministry(s)/Department(s) responsible for taking further action on each conclusion. In case it is perceived by a participant of the meeting, that the minutes recorded are not as per the understanding/perception of the participant, the same may be immediately referred in writing to the authority which has issued the minutes.

Modes of Communications shall be decided depending on the nature and urgency of message to be conveyed.

29. **Correspondence with attached and subordinate offices -**

Senior Officers/Head of a subordinate/ attached office under an administrative Ministry/Department shall correspond in respect of matters involving intervention/ approval of another Ministry/ Department in a form of a note/e-mail/ e-file to their concerned Ministry/Department. In case of seeking clarifications relating to

rules/guidelines from Departments like Department of Expenditure, Department of Personnel, Ministry of Health etc. the Attached/Subordinate offices can communicate directly without the intervention of their parent Ministry/Department.

30. **Single File System -**

(i) This shall apply to matters which have to be referred by the Non Secretariat Office (NSO) to the Department for seeking a sanction/order, i.e. a decision not within its own delegated powers.

(ii) This shall not apply to matters which in a hybrid environment i.e. where either the Department or the NSO is still operating in paper mode (non-electronic). In such cases, the procedure detailed in para (iii) to (vii) below will be followed. In cases where both the Department and NSO are electronically connected, the workflow given below will be followed:

(a) The SFS file need not bear an I.D. No. or other formal method of sending, but will be sent as though it is from one officer to another in the same organization.

(b) The SFS file shall be completed in all respects, so as to enable the Department to take a decision expeditiously; hence the NSO will ensure that:

(i) every point for decision/order is clearly brought out;

(ii) all relevant connected papers are placed on the file/e-files, properly arranged and referred to;

(iii) draft orders/sanctions are put up, where they are required to be approved by the department for issue; and

(iv) the availability of funds, etc., is certified where additional expenditure is involved in the proposal.

(iii) The officer last dealing with the SFS case in the NSO shall mark it to the appropriate officer in the Department, by name; policy files will, however, be

referred to the department at appropriate levels to be determined by the Department and the NSO concerned, through a general order.

(iv) All SFS files shall invariably be routed through the central registry of the department concerned.

(v) As a rule, all noting in the Department will be on the NSO file. However, where sensitive or delicate matters in the sphere of personnel, policy issues and finance are involved; the recording of notes in 'duplicate' e-files may be permitted by issuing general or special orders by the Department. This will be done at a particular stage of the SFS case or at or above a particular level, with the final decision thereafter being suitably recorded on the SFS e-file.

(vi) As a convention, the secretariat noting on a SFS file shall start on a new page and the noting done sequentially-save in matters of the nature referred to in (v) above.

(vii) Action to implement the government decision in SFS case shall be initiated in and by the NSO on the return of the file. Orders so issued should specifically state that these have received the concurrence of Government in the Department concerned. Copies of every sanction/order so issued by the NSO will be endorsed without fail to all the officers concerned in the Department.

31. References to the Attorney-General of India - References to the Attorney-General shall be made by the Ministry of Law and Justice.

32. References to Constitutional/Statutory Authorities - References to constitutional and statutory authorities such as Election Commission of India/ Union Public Service Commission etc. shall normally be made in the letter form addressed to Principal Secretary/Secretary of the Commission.

33. References to the Comptroller and Auditor General of India - References to the Comptroller and Auditor General of India for his views or advice shall be made only by or through the Ministry of Finance. In matters of day-to-day administration, Ministries/departments may, however, at their discretion, correspond directly with the Comptroller and Auditor General of India.

34. Correspondence with Union Territory Administrations - All communications of a routine nature which clearly relate to the business of a particular Department, shall ordinarily be addressed to the Secretary in the appropriate Department. Other important communications may be addressed to the Chief Secretary or the Administrator as the case may be.

35. Correspondence with State Governments -

(i) Communications on the subjects which clearly relate to the business of a particular Department shall normally be addressed to the Secretary of that Department. Other communications including those of special nature or importance warranting attention at higher levels may be addressed to the Chief Secretary. Demi-official letters may also be sent to officers of State Governments. In case of demi-official communication is to the Chief Secretary of a State, this level shall not be below the level of Joint Secretary.

(ii) Communications other than those of a purely routine nature e.g., acknowledgements shall not ordinarily be addressed to State Governments except with the prior approval and under the signature of the branch officer. Purely routine communications may, however, be signed by a Section Officer.

36. Correspondence with the Lok Sabha and the Rajya Sabha Secretariats -

Communications meant for the Lok Sabha Secretariat or the Rajya Sabha Secretariat and requiring urgent or high level attention shall be addressed to the Secretaries concerned and not to the Speaker or the Chairman directly.

37. Correspondence with Members of Parliament and VIPs -

(i) Communications received from Members of Parliament and VIPs should be attended to promptly.

(ii) Where a communication is addressed to a Minister, it shall, as far as possible, be replied to by the Minister himself. In other cases, a reply should normally be signed by an officer of the rank of Secretary only.

(iii) Where, however, a communication is addressed to the head of an attached or

subordinate office, Public Sector Undertakings, Financial Institutions (including nationalized banks) Division/Branch In charge in a Ministry/Department /Organisation, shall be replied to by the addressee himself. In routine matters, he may send an appropriate reply on his own. In policy matters, however, the officer should have prior consultation with higher authorities before sending a reply. It should, however, be ensured that the minimum level at which such replies are sent to Members of Parliament and VIPs is that of Under Secretary and that also in letter form only.

(iv) Normally information sought by a Member/VIP should be supplied unless it is of such a nature that it would have been denied to him even if asked for on the floor of the Houses of Parliament.

(v) In case, a reference from an ex-Member of Parliament is addressed to a Minister or Secretary, reply to such reference may be sent by a Joint Secretary level officer after obtaining approval of the Secretary of the Ministry/Department. In case the reference is addressed to a lower level officer, reply to such reference could be sent by the officer on his own in non-policy cases and after obtaining approval of the higher authorities in policy cases,. However, the minimum level at which reply could be sent should be that of an Under Secretary and that too in a polite letter form only.

(vi) Each communication received from a Member of Parliament/VIP, shall be acknowledged within 15 days, followed by a reply within the next 15 days of acknowledgement sent.

(vii) Appropriate record shall be maintained in respect of communications received from Members of Parliament and VIPs and monitored by all concerned. A similar procedure may also be followed for judicial/quasi-judicial matters.

38. Correspondence with Ministers of State Governments –

The procedure laid down in the above paragraph (No.37) shall also be followed in dealing with communications received from the Ministers of State Governments.

39. Correspondence with Foreign Governments and International Organizations –

Correspondence with Foreign Governments and their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies shall normally be through the Ministry of External Affairs. Exceptions to this may be made only as per the instructions issued by the Ministry of External Affairs in this regard from time to time.

40. Target date for replies - In all important matters in which State Governments, Departments of the Central Government, or other offices, public bodies or individuals are consulted, time limit for replies may ordinarily be specified. On expiry of the specified date, orders of the appropriate authority may be obtained on whether the offices, whose replies have not been received, may be allowed an extension of time or whether the matter may be processed on the basis of the information available, without waiting for their replies.

CHAPTER VII

DRAFTING OF COMMUNICATION

41. Procedure for drafting -

Draft is not required to be prepared in straight-forward cases or those for which standard forms of communication exist.

42. General instructions for drafting –

(i) A draft shall be clear and concise.

(ii) The number and date of the last communication in the series, and if this is not from the addressee, his last communication on the subject, shall always be referred to. Where it is necessary to refer to more than one communication or a series of communications, this shall be done on the margin of the draft. When two or more communications are to issue from the same file on the same date, a separate serial number may be inserted before the numeral identifying the year to avoid confusion in reference, e.g., A-11011/5(I)/2001-Est., A-11011/5(II)/2001-Est.

(iii) The name, designation, telephone number, fax number and e-mail (wherever applicable) of the officer signing the communication shall be indicated in the communication.

43. Authentication of Government Orders (Ministry of Home Affairs) –

(i) All orders and other instruments made and executed in the name of the President shall be expressed to be made in his name and signed by an officer having regular or ex-officio secretariat status of and above the rank of Under Secretary, or other specifically authorized to authenticate such orders under the Authentication (Orders and Other Instruments) Rules, 2002 (as amended from time to time).

(ii) Where the power to issue orders, notifications, etc., is conferred by a statute of the Government of India, such orders and notifications will be expressed to be made in the name of the Government of India.

44. **Addressing communications to officers by name** - Normally no communication, other than that of a classified nature or a demi-official letter, shall be addressed or marked to an officer by name, unless it is intended that the matter raised therein shall receive his personal attention either because of its special nature, urgency or importance, or because some ground has already been covered by personal discussions with him and he would be in a better position to deal with it.

CHAPTER VIII

FILE NUMBERING SYSTEM

45. **File Numbering System:** Normally, no files should be opened for dealing with receipts of routine nature. The following two file numbering systems may be used:-

I. Functional file numbering system –

(i) The range and dimensions of the subjects falling under the scope of business allocated to a department are analyzed in the following sequence:

- (a) main functions of the department;
- (b) activities in each of these functions;
- (c) aspects or operations involved in each of these activities; and
- (d) factors to be taken into consideration relating to each of these aspects or Operations.

(ii) The scope of business of a department is analyzed under four hierarchical divisions, and the following four standard lists of headings are prepared:

- (a) functional heads which may be called basic heads;
- (b) activity heads which may be called 'primary heads' as related to each functional head;
- (c) aspect or operation heads which may be called 'secondary heads' as related to activity heads; and
- (d) factor heads which may be called 'tertiary heads' as related to operation heads.

(iii) Based on the above list of heads', a functional file index for various substantive subjects dealt with by a department together with an identifying file numbering system is then developed.

(iv) For opening files on subjects which are common to all Ministries/Departments (e.g. matters relating to establishment, finance, budget, accounts, office

supplies and services, and other house-keeping jobs, Hindi, Vigilance, Parliament, Questions, etc.) the common standardized functional file index/file-numbering system, as contained in the booklet 'Record Retention Schedule' in respect of records common to all Ministries/Department issued by the Department of Administrative Reforms and Public Grievances in 2012 (uploaded on the website (www.darpg.gov.in), as amended from time to time, shall be followed.

II. Subject classification based file numbering system—

- (i) Each Section/Desk will maintain approved lists (to be reviewed every year) of:
 - (a) standard heads i.e. main subjects headings concerning it.
 - (b) standard sub-heads i.e. aspects of the main subject headings.
- (ii) The standard heads will bear consecutive serial numbers. No such numbers, however, will be allocated to standard sub-heads.
- (iii) The dealing hand will ascertain the standard to which the paper under consideration relates .and then propose a suitable title subject to review by the Senior Officers.
- (iv) As far as possible, there should be a separate file for each distinct aspect of the subject.
- (v) If the issue raised in the fresh receipt or in the note on a current file goes beyond the original scope, a new file may be opened to deal with it by placing photocopies of relevant extracts.
- (vi) The first three elements in the file number will be separated from one another by a slant stroke and the last two by a dash. Thus, the files opened in say, Scientific Research Section during 2009 under the standard head bearing serial number '3' will be numbered consecutively as 3/1/2008-SR, 3/1/2009-SR etc. and so on, where 'SR' represents the section.

III. Part File –

- (i) If the main file on a subject is not likely to be available for some time and it is necessary to process a fresh receipt or a note without waiting for its return, a part file may be opened to deal with it. Where two or more part files are opened, each will be identified by a distinct number, e.g. part file I, part file II or part file 'A', part file 'B' and so on. Once the main file returns the part files will be merged with it, after removing duplicate papers, if any.

- (ii) In a computerized environment appropriate entry will be made in the computer, so that easy tracking is facilitated for the purpose of merging of the part file with the main file.

IV. Unique e-file number: In a computer environment, a unique e-file number will also be generated automatically as and when a new e-file is opened. The e-files which are entered in the system will be automatically traceable on any of the following parameters:

- (i) no. of the file.
- (ii) date of opening of the file.
- (iii) as many catch words as possible from out of the subject on the file.
- (iv) any other parameter(s) at the discretion of the Department concerned.

46. **Transfer, reconstruction and numbering of files** - Whenever work is transferred from one department/section to another, the former shall transfer all the related records including file both current and closed to the latter. In case of transfer of files from one Department to the other a list will be prepared and approval of the Head of the Department taken. The department/section taking over the records will not divide, reclassify or renumber the closed files transferred to it. In the case of current files, the endeavour should be to close them at the earliest possible stage and open new files/e-files according to the Department's/Section's own scheme for dealing with the matter further.

A paper based file will be reconstructed if it is misplaced. The copies of the various correspondences will be obtained from the corresponding department and papers will be arranged in chronological orders and a new duplicate file prepared. A self-contained note will be prepared based on the correspondences.

47. **Movement of files –**

Movement of files shall be entered in the file movement register in the format to be decided by the Department concerned through departmental instructions. This may also be done through the electronic based File Tracking System.